



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

09/912,709

07/25/2001

Michael Hollerman

11927/121

5180

757 7590 03/18/2008  
BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610

EXAMINER

KESACK, DANIEL

ART UNIT

PAPER NUMBER

3691

MAIL DATE

DELIVERY MODE

03/18/2008

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

**Notice of Allowability**

Application No.

09/912,709

Examiner

Daniel Kesack

Applicant(s)

HOLLERMAN ET AL.

Art Unit

3691

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to amendment after final filed 12/21/2007.
2. ☒ The allowed claim(s) is/are 39-41,43-46,48,49,84,86-91,128,129 and 131-138.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- \* Certified copies not received: \_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |   |
|--|---|
| 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 5. <input type="checkbox"/> Notice of Informal Patent Application                     |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date ____. |
| 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date ____     | 7. <input checked="" type="checkbox"/> Examiner's Amendment/Comment                   |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance  |
|  | 9. <input type="checkbox"/> Other ____.   |

## **DETAILED ACTION**

### ***Response to Amendment***

1. The affidavit filed on December 21, 2007 under 37 CFR 1.131 is sufficient to overcome the Cohen reference.

### ***Allowable Subject Matter***

2. Claims 39-41, 43-46, 48, 49, 84, 86-91, 128, 129, and 131-138 are allowed.

## **EXAMINER'S AMENDMENT**

3. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Kent Genin on January 2, 2008.

The application has been amended as follows:

Cancel claims 42, 47, 85, 130, and 170-178

39. (Currently Amended) A method of displaying option market information comprising:

establishing a communication link between a member computer and a central computer;

accessing option trading data from the central computer through the member computer;

inputting at least two signals to the member computer, the at least two signals representative of at least an underlying asset symbol of an underlying asset and a strike price; and

generating a display page based on the at least two signals listing option data for the strike price entered for the underlying asset input to the member computer entered in the data entry field, wherein the option data includes at least one quotation for each option series, and wherein each option series includes at least one National Best Bid and Offer quotation and at least one quotation from a trading facility.

43. (Currently Amended) The method of displaying option market information of claim 39, wherein the quotation ~~each option listed~~ on the display page includes a put quotation and a call quotation.

45. (Currently Amended) The method of displaying option market information of claim 39, further comprising the step of displaying on the display page trading information for the underlying asset.

46. (Currently Amended) The method of displaying option market information of claim 39, further comprising the step of displaying on the display page a running list of executed trades for the at least one underlying asset entered.

48. (Currently Amended) The method of displaying option market information of claim 39, ~~47, wherein each displayed option series includes at least one National Best Bid and Offer quotation and at least one quotation from a trading facility, and~~ further comprising the step of highlighting each displayed option quotation from the trading facility that is not equal to ~~the~~ a corresponding National Best Bid and Offer quotation.

49. (Currently Amended) The method of displaying option market information of claim 39, further comprising the step of updating the option ~~trading information~~ data on a predetermined frequency.

84. (Currently Amended) A method of displaying a graphical user interface on at least one computer monitor comprising:

receiving at least two signals at a computer in communication with the computer monitor, the at least two signals representative of at least an underlying asset symbol of an underlying asset and a strike price;

generating a display page on the computer monitor based on the at least two signals, the display page listing option trading information for a plurality of options relating to the underlying asset symbol of the underlying asset and the strike price, wherein the option trading information includes National Best Bid and Offer data and option trading data from a trading facility, and wherein the option trading information includes at least one quotation for each option series; and

displaying option data for the received strike price entered for the received underlying asset symbol ~~entered in the data entry field~~.

86. (Currently Amended) The method of claim 84, wherein displaying option data further comprises displaying, for each option listed on the display page, includes a put quotation and a call quotation, and wherein the put quotation includes a bid quotation and an ask quotation, and the call quotation includes a bid quotation and an ask quotation.

89. (Currently Amended) The method of claim 84, ~~wherein the option trading information for the plurality of displayed options includes at least one quotation for each option series and~~ further comprising the step of highlighting the quotation when the quotation is recently updated.

90. (Currently Amended) The method of ~~displaying option market information of claim 84~~[[89]], ~~wherein each displayed option series includes at least one National Best Bid and Offer quotation and at least one quotation from a trading facility, and~~ further comprising the step of highlighting each displayed option quotation from the trading facility that is not equal to a [[the]] corresponding National Best Bid and Offer quotation.

91. (Currently Amended) The method of ~~displaying option market information of claim 84~~ [[89]], further comprising the step of updating the option trading information on a predetermined frequency.

128. (Currently Amended) A system for displaying option market information comprising:

a central computer, the central computer having regularly updated option trading information;

at least one member computer, the member computer including a monitor;  
a communication link selectably and releasably coupling the central computer to the at least one member computer, the communication link configured to enable the member computer to access the option trading information from the central computer; and

a display page selectably viewable on the monitor, the display page having a data entry field for receiving an underlying asset symbol of an underlying asset and a strike price, the display page configured to display providing option data for the strike price entered for the underlying asset entered in the data entry field, wherein the option data includes at least one quotation for each option series, and wherein each option series includes at least one National Best Bid and Offer quotation and at least one quotation from a trading facility.

131. (Currently Amended) The system for displaying option market information of claim 128[[130]], wherein each option quotation listed on the display page includes a put quotation and a call quotation, and wherein the put quotation includes a bid quotation and an ask quotation, and the call quotation includes a bid quotation and an ask quotation.



132. (Currently Amended) The system for ~~method of~~ displaying option market information of claim 128, wherein the underlying asset is selected from the group consisting of a security, a commodity and a derivative.

133. (Currently Amended) The system for ~~method of~~ displaying option market information of claim 128, wherein the central computer is selected from the group consisting of an exchange computer, a data vendor computer and a trading facility computer.

134. (Currently Amended) The system for displaying option market information of claim 133, wherein the display page is configured to display recently updated quotations as highlighted ~~option trading information for the plurality of displayed option comprises highlighting recently updated quotations.~~

135. (Currently Amended) The system for displaying option market information of claim 133, wherein the display page is configured to display as highlighted each displayed option quotation from the trading facility that is not equal to a[[the]] corresponding National Best Bid and Offer quotation-is highlighted.

136. (Currently Amended) The system for displaying option market information of claim 128, wherein the display page further ~~illustrates~~ comprises trading information for the underlying asset.

137. (Currently Amended) The system for displaying option market information of claim 128, wherein the display page further ~~illustrates~~ comprises a running list of executed trades for the at least one underlying asset entered.

138. (Currently Amended) The system for displaying option market information of claim 128, wherein the display page is configured to display option trading information updates ~~is updated~~ on a predetermined frequency.

4. The following is an examiner's statement of reasons for allowance: The affidavit filed 12/21/2007 was sufficient to overcome the Cohen reference. The Berckmans reference is cited as being the closest prior art available, and is made of record. The Berckmans reference fails to teach a method, apparatus, or instructions for displaying option market information comprising inputting at least the underlying asset symbol and a strike price of an option, generating a display page listing option data for the underlying symbol and the strike price, wherein the option data includes at least one quotation for each option series, and at least one national Best Bid and Offer.

Art Unit: 3691

Berckmans teaches listing option data, but does not retrieve option data based on an input asset *and* strike price entered, and does not result in at least one quotation for every series, nor at least one National Best Bid and Offer (see figure 3).

No prior art of record, either alone, or in combination with any other prior art teaches these missing claim limitations.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Daniel Kesack whose telephone number is (571)272-5882. The examiner can normally be reached on M-F, 9:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on 571-272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3691

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Respectfully Submitted,  
Daniel Kesack  
/D. K./  
Examiner, Art Unit 3691

/Hani M. Kazimi/  
Primary Examiner, Art Unit 3691